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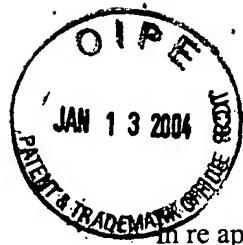
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01-14-04

RECEIPT  
PATENT  
030675

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Woodruff et al.

ZERO PREMIUM EQUITY  
PARTICIPATING SECURITIES

Serial No. 10/679,071

Art Unit: 3621

Filed: October 3, 2003

REQUEST FOR CORRECTED FILING RECEIPT

Office of Initial Patent Examination (OIPE)  
Filing Receipt Corrections  
Commissioner for Patents  
Box 1450  
Alexandria, VA 22313-1450

Sir:

A filing receipt for the above-referenced application has been received. The filing receipt, however, incorrectly lists the filing date as October 2, 2003. The correct filing date is October 3, 2003. Therefore, Applicants respectfully request a corrected filing receipt.

A copy of receipt indicating the date of October 3, 2003 form PTO/SB/05 (Utility Patent Application Transmittal) is enclosed as Exhibit A indicating that the application was mailed October 3, 2003. Enclosed as Exhibit B is a Return Receipt Postcard (MPEP § 503) from the Patent Office indicating that the application was filed on October 3, 2003. A copy of the filing receipt marked with the appropriate correction is also enclosed, as Exhibit C.

A representative of the Office of Initial Patent Examination is invited to contact the undersigned to resolve any outstanding questions regarding this matter.

Date: Jan 13, 2004

Respectfully submitted,

Mark G. Knedeisen  
Registration No. 42,747

KIRKPATRICK & LOCKHART, LLP  
Henry W. Oliver Building  
535 Smithfield Street  
Pittsburgh, Pennsylvania 15222  
Ph. (412) 355-6342  
Fax (412) 355-6501

"Express Mail" mailing label number EU150829518US  
Date of Deposit January 13, 2004

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Office of Initial Patent Examination (OIPE), Filing Receipt Corrections, Commissioner for Patents, Box 1450, Alexandria, VA 22313-1450.



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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	030675
First Inventor	K. Woodruff
Title	ZERO PREMIUM ....
Express Mail Label No.	EU990164407US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
*(Submit an original and a duplicate for fee processing)*
2.  Applicant claims small entity status.  
See 37 CFR 1.27.
3.  Specification [Total Pages 26]  
*(preferred arrangement set forth below)*
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings *(if filed)*
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  Drawing(s) (35 U.S.C. 113) [Total Sheets 7]
5. Oath or Declaration [Total Sheets 3]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63(d))  
*(for continuation/divisional with Box 18 completed)*
    - i.  DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) name in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6.  Application Data Sheet. See 37 CFR 1.76

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Commissioner for Patents  
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7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
*(if applicable, all necessary)*
  - a.  Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  Paper
  - c.  Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9.  Assignment Papers (cover sheet & document(s))
10.  37 CFR 3.73(b) Statement  Power of  
*(when there is an assignee)*  Attorney
11.  English Translation Document *(if applicable)*
12.  Information Disclosure  Copies of IDS  
Statement (IDS)/PTO-1449 Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503)  
*(Should be specifically itemized)*
15.  Certified Copy of Priority Document(s)  
*(if foreign priority is claimed)*
16.  Nonpublication Request under 35 U.S.C. 122  
*(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.*
17.  Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

Continuation       Divisional       Continuation-in-part (CIP)      of prior application No.: .....

Prior application information: Examiner \_\_\_\_\_ Art Unit: \_\_\_\_\_  
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

Customer Number: 26285      OR       Correspondence address below

Name			
Address			
City	State	Zip Code	
Country	Telephone	Fax	

Name (Print/Type)	Mark G. Knedeisen	Registration No. (Attorney/Agent)	42,747
Signature	<u>Mark Kneiser</u>	Date	10/3/03

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

S.K.

Docket No 303675  
Title: Zero Premium ...

The PTO acknowledges, and has stamped hereon,  
the date of receipt of the below items, which were  
mailed 10-3-23

New Pat. Appl. Tran.  
~~Utility, Design, CPA, PROV.)~~

Fee Transmittal (2x)

Transmittal Letter

PCT Request and fee calc. sheet

PCT Chapter 2 Demand

Specification

7 sheets of informal drawings

Maint. Fee Transmittal

Oath/App. of Agent

Assignment PTO Form-1595 (2x)

Amendment Transmittal (2x)

Amendment

3.73 Statement

Terminal Disclaimer

Declaration(s)

Information Disclosure Statement

Form PTO ~~1595~~ SB-8A

References

REC Transmittal

Foreign Draft Check

Issue Fee

PTO Forms 85(b) (2x)

Fee Indication Sheet

Check

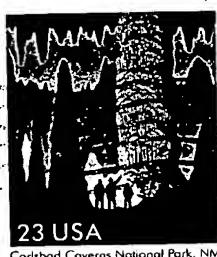
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ATTN: Terri J. Watson

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535 Smithfield Street  
Pittsburgh, PA 15222-2312

00727 U.S. PTO  
10/679071



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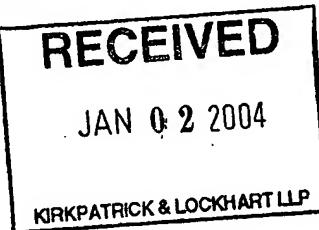


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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY.DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/679,071	10/02/2003 10/03/2003	3621	1320	030675	7	41	5

26285  
KIRKPATRICK & LOCKHART LLP  
535 SMITHFIELD STREET  
PITTSBURGH, PA 15222



CONFIRMATION NO. 5914

## FILING RECEIPT



\*OC000000011590300\*

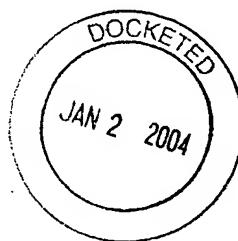
Date Mailed: 12/31/2003

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Kevin G. Woodruff, New York, NY;  
Serkan Savasoglu, New York, NY;  
Nathan N. McMurtry, New York, NY;

## Domestic Priority data as claimed by applicant



## Foreign Applications

If Required, Foreign Filing License Granted: 12/30/2003

Projected Publication Date: 04/07/2005

Non-Publication Request: No

Early Publication Request: No

## Title

Zero premium equity participating securities

## Preliminary Class

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Title 37, Code of Federal Regulations, 5.11 & 5.15**

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